



CITY OF PHILADELPHIA

395660
LAW DEPARTMENT
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VIA TELEFAX AND REGULAR MAIL

September 14, 2001

Ms. Carlyn Winter Prisk (3HS11)
U.S. Environmental Protection Agency, Region III
1650 Arch Street
Philadelphia, PA 19103-2029

Re: Lower Darby Creek Area Superfund Site

Dear Ms. Prisk:

On behalf of the City of Philadelphia, this provides the City's responses to the questions contained in the EPA's July 19, 2001 104(e) request. On August 23, 2001, we provided to the agency numerous documents, and you have kindly agreed to allow us until today to provide our narrative responses to the EPA's questions. As I mentioned, the City is continuing both its document review and its interviewing efforts to gather more information about the Site. Any additional responsive documents or information will be provided to the EPA in a timely manner.

We note that several of the EPA's questions refer to Clearview Landfill, the Folcroft Landfill, the Folcroft Annex and/or "any other portion of the Site." Since the City is not aware of how the EPA defines the boundaries of the Site, the City interprets such questions as referring to the three named disposal locations. We further note, as we did with our August 23, 2001 response, that the City, by responding to EPA's request, is not in any way waiving its legal rights or privileges to this information and makes no admissions for purposes of any possible future litigation.

For convenience, we repeat the relevant EPA question in italics before providing the City's corresponding response.

1. State the nature of the City of Philadelphia's ("the City's") waste disposal operation for its commercial, industrial, institutional, and residential customers between 1953 and 1989.

Response: During the relevant time, the City collected municipal solid waste primarily from households located within City boundaries. The City did not collect waste from facilities engaged in manufacturing or wholesaling and did not collect waste from apartment buildings that had more than six units. In addition to households, however, the

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City did collect from some small businesses provided that waste from such facilities was collected only once a week (as opposed to household garbage that was sometimes picked up more than once a week) and was of the same type and amount as that collected from households. All such waste streams, whether from households or from the small businesses were comprised of rubbish, ashes, garbage, newspapers, magazines, collapsible cardboard boxes and/or yard dirt. A small portion of waste was also collected from agencies of City government. Highly flammable, explosive or biomedical material was not collected.

In the beginning of the relevant time period, this waste was sent to City-owned transfer stations or incinerators. The transfer stations and incinerators also accepted waste from private haulers, although such private haulers contributed only a small quantify of waste relative to the amounts from City trucks. All waste from the transfer stations and the incinerators was ultimately sent to landfills in the vicinity. The City believes that some ash was used as fill in portions of the City being redeveloped. In late 1986 or very early 1987 the incinerators were closed and ceased to be a part of the system.

2. Identify all persons currently or formerly employed by the City, or acting on your behalf, who may have personal knowledge of the City's waste disposal practices between 1953 and 1989. For each such person, state that person's employer, job title, dates of employment, current address and telephone number. If the current telephone number or address is not available, provide the last known telephone number or last known address of such person.

Response: The City has interviewed several current employees concerning whether the City has ever used the Clearview Landfill, the Folcroft Landfill, and/or the Folcroft Annex. So far, the City has interviewed senior management officials and longtime lower level employees at the Streets Department; employees of the Water Department, the Procurement Department, the Department of Public Property and the Recreation Department. No such interviewees have personal knowledge that the City ever used these facilities. Therefore, the City does not presently have a list of current employees who have knowledge of any such activities. The City is attempting to ascertain which former employees may have additional such information. One such former employee may be Seymour Kasinetz, 1518 Griffith Avenue, Philadelphia, PA 19111. With regard to other former employees, the City is not aware of which, if any, former employee(s) have personal knowledge that the City ever used the Clearview Landfill, the Folcroft Landfill, and/or the Folcroft Annex.

3. Describe the types of documents generated or maintained by the City concerning the handling and/or generation, storage, treatment, transportation, recycling, formulation, or disposal of any hazardous substance, hazardous waste, pollutant, contaminant or other waste between 1953 and 1989. [Subsections a. – c. not repeated for purposes of brevity.]

Response: In its initial response of August 23, 2001, the City has produced complete copies of all responsive documents that the City has been able to locate to date. The City's search for responsive documents is continuing and copies of any additional responsive documents will be included in a supplement to this response.

4. Did the City of Philadelphia ever contract with, or make arrangements with Clearview, Folcroft, Folcroft Annex, Eastern Industrial, Tri-County Hauling, S. Buckly Trash Hauling, Barratt Rupurt, McCloskey Engineering, Marvin Jones, Jonas Waste Removal, Schiavo Bros., Inc., ADM Disposal Services and/or any other company or municipality for storage, treatment, transportation, recycling, removal, or disposal of any waste between 1953 and 1989? If so, then a.- i. [not repeated for purposes of brevity].

Response: After interviewing current senior management officials and longtime lower level employees at the Streets Department; employees of the Water Department, the Procurement Department, the Department of Public Property and the Recreation Department, the City has not found any person with knowledge that the City ever contracted with, or made arrangements with any of these entities for the storage, treatment, transportation, recycling, removal or disposal of any waste at Clearview, Folcroft and/or Folcroft Annex during the relevant time period. The City has produced in its August 23, 2001 initial response several documents (such as a license agreement and correspondence between the City and the Pennsylvania Department of Environmental Protection, etc.) that suggest that the City might have contracted with "Clearview Land Development Corporation" for the right to use the Clearview Landfill; however, no person interviewed to date has any knowledge of such activities. The City believes that it never contracted with or arranged for the disposal of anything at the Folcroft Landfill or Folcroft Annex. Aside from the previously produced documents referring to Clearview, the City has uncovered no evidence whatsoever, be it documentary or otherwise, that suggests that the City ever contracted with, or made arrangements with, any of the hauling companies listed in the question for purposes of sending any sort of waste or hazardous substances to Clearview, Folcroft, the Folcroft Annex or any disposal facility. Transfer station billing ledgers appear to indicate that the City's transfer stations accepted the drop off of certain waste materials at times from Schiavo Bros. and Tri-County Hauling, but the City has not uncovered any information suggesting that these materials were transferred to the Site.

5. Provide the names, titles, areas of responsibility, addresses, and telephone numbers of all persons, companies, or municipalities who, between 1953 and 1989, may have: (a) disposed of or treated materials at Clearview, Folcroft and Folcroft Annex or other areas of the Site; (b) arranged for disposal or treatment of materials at Clearview, Folcroft and Folcroft Annex or other areas of the Site; and/or, (c) arranged for the transportation of materials to Clearview, Folcroft and Folcroft Annex or other areas of the Site (either directly or through transshipment points) for disposal or treatment.

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Response: To date the City's investigation has identified the names of a number of other potential generators or transporters to the Site, and such information was provided on August 23, 2001 in response to Question 10. The City has also uncovered various documents concerning the possibility that the City once used the Clearview Landfill, and such documents have been produced also. However, to the extent that the City did use the Clearview Landfill, if it did at all, the City has not found any individual who has direct information of such use. Therefore, as of today, the most detail that the City can provide on such possible activity is the information contained in the documents produced on August 23, 2001. Please also see the City's response to Question No. 10 for identification of other PRPs.

6. For every instance in which the City disposed of or treated material at Clearview, Folcroft and Folcroft Annex or others of the Site, or arranged for the disposal of treatment of material at the Site, identify a. – e. [not repeated for purposes of brevity].

Response: The City has not identified any such instances or information.

7. Did the City, or any other company or individual ever spill or cause a release of any chemicals, hazardous substances, and/or hazardous waste, and/or non-hazardous solid waste on any portion of Clearview, Folcroft and Folcroft Annex or any other portion of the Site? If so, identify a. – d. [not repeated for purposes of brevity].

Response: The City interprets this question (and specifically the phrase "or any other company or individual") as referring to the City or its employees or agents. In that regard, the City has not identified any such spill or release at any of the landfills. The City cannot speak to whether unrelated companies or individuals, such as Clearview Landfill or Richard Heller, might have spilled or caused a release of hazardous or non-hazardous substances.

8. Please identify individuals employed by the City who were responsible for arranging for the removal and disposal of wastes, and individuals who were responsible for payments, payment approval, and record keeping concerning such waste removal transactions in the City between 1953 and 1989. Provide current or last known addresses and telephone numbers where they may be reached. If these individuals are the same persons identified by your answer to question 2, so indicate.

Response: The chain of command for the removal and disposal of wastes was and is as follows, in ascending order: Laborer, Crew Chief, District Supervisor, Area Supervisor, Chief of Operations, Deputy Commissioner for Sanitation, and the Commissioner of the Streets Department. A Program Coordinator as well as Sanitation Engineers also have input into the process. Minor changes in titles and organization occurred over the years. However, the ultimate responsibility for these activities has always rested with the

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Commissioner. The names of the Commissioners of the Streets Department in the relevant time period, as best as can be constructed at this time, are as follows in ascending chronological order: Leo Goldstein, David Damiano, John Scruggs, Howard Mintzer, John Heany, Abraham Michaels, Harry Perks and Alexander Hoskins. As no interviewee has any personal knowledge of sending waste materials to any landfill in the Site, the City does not have any other names of persons to provide in response to this question.

In terms of responsibility for payments, payment approvals, and record keeping, the Program Coordinator would receive and authorize all invoices and send such invoices to the Department Budget Office, who in turn would send them to the City Finance Department, and then the City Controller's Office and Treasurer's Office for payment.

To the extent that the EPA's question seeks to use the word "arranged" in the sense of the legal definition of that statutory term, it is specifically denied that any City employee "arranged" for disposal of any waste at the Site.

9. Did the City or any person or entity on its behalf ever conduct any environmental assessments or investigations relating to contamination at Clearview, Folcroft and Folcroft Annex or any other areas of the Site? If so, please provide all documents pertaining to such assessments or investigations.

Response: In its August 23, 2001 initial response, this question was answered by the City's production of complete copies of all assessment/investigative documents that the City has been able to locate to date. The City's search for responsive documents is continuing and copies of any additional responsive documents will be provided to the EPA.

10. If you have any information about other parties who may have information which may assist the EPA in its investigation of the Site, including Clearview, Folcroft and Folcroft Annex, or who may be responsible for the generation of, transportation to, or release of contamination at the Site, please provide such information.

Response: In its August 23, 2001 initial response, the City produced documentation obtained from the files of the Pennsylvania Department of Environmental Protection that indicate that the following entities might have used at least one of the landfills at the Site: Celotex Corporation ("and the preceding company "Barrett Roofing"), Tri-County Hauling (which was owned by SCA Corporation of Boston, which had a contract with Delaware County), Upper Darby, "22 municipalities," Pennsylvania Railroad, Philadelphia Electric, The Marine Corps, the "Haverford-Radnor-Marple Sewer Authority, MAB Paints, Norristown, Brighton Chemical, ITE Circuit Breaker, General Electric and Henkels & McCoy. The City's search for additional PRPs is continuing.

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11. In what year did the City of Philadelphia, or any of its agencies, acquire any property which currently surrounds, abuts, or is part of the Clearview Landfill in Philadelphia County ("the Philadelphia Clearview Property").

General Objection to Questions 11 through 16: The City of Philadelphia has never owned or operated the Clearview Landfill or any part thereof. Given that the EPA's question seeks information or documents related to City-owned property that the EPA associates with the Clearview Landfill, the City objects to any such association. Thus, the City does not possess any information or documents concerning the so-called "Philadelphia Clearview Property." The City is willing to discuss with EPA counsel or investigators the EPA's views about the nature or description of what the EPA defines as the "Philadelphia Clearview Property." Such a discussion might enable the City to provide additional responsive information.

The City further objects to the EPA's use of the terms "acquire," "own" or "convey" to the extent that these terms are meant to imply ownership, or intent to own, in the context of alleged CERCLA liability. The City specifically reserves the right to assert all defenses, including the defense that the City holds title to property involuntarily as a result of its sovereign status.

Response to Question 11: Without waiving any of the foregoing objections or qualifications, and specifically denying any CERCLA liability, title to certain property near the Clearview Landfill was transferred to the City. This transfer is indicated by a September 29, 1969 Indenture between the Redevelopment Authority of the City of Philadelphia (grantor) and the City of Philadelphia (grantee); and a January 5, 1970 Deed of Dedication, copies of which were contained in the City's August 23, 2001 document production. As explained in greater detail in the response to Question No. 16, this transfer was one of the last in a series of long term, planned steps by the federal, state and local governments to protect human health, safety and welfare and the environment in this part of the City of Philadelphia. The City specifically denies that any such transfer of title, or any of the steps involved with the City's protection of human health, safety and welfare and the environment, indicate or tend to indicate that the City formerly owned or operated or currently owns and operates the Clearview Landfill.

12. Please also provide the following information related to the Philadelphia Clearview Property [subsections a. through j. (referring to boundaries, utilities, sewer systems, maps, ownership documents, etc.) not repeated for brevity].

Objection to Question 12: In addition to the foregoing general objection, the City objects to the overly broad and burdensome scope of this question. For instance, the City's Bureau of Survey and Department of Public Property have innumerable documents of property boundaries and legal descriptions for the entire City including the land in the

vicinity of the Clearview Landfill; the Water Department and the Philadelphia Gas Works have various and innumerable documents concerning the location of easements, underground utilities, etc. The City cannot respond substantively to this question without a more concise description of the information sought. Nevertheless, the City is available to meet with the EPA to discuss what specific documents or information the EPA might want to review and to determine how best to accomplish that goal.

Without waiving the foregoing general objection, the City has provided, in its August 23, 2001 document production, copies of several documents that appear related to property rights in the vicinity of the Clearview Landfill. The City specifically denies that any such documents indicate that the City formerly owned or operated or currently owns or operates the Clearview Landfill or any part thereof.

13. At the time the City acquired or operated the Philadelphia Clearview Property, did you know or have reason to know that any hazardous substance was disposed of on, or at the Site? Describe all investigations of the Site you undertook prior to acquiring the Philadelphia Clearview Property and all of the facts on which you base the answer to this question.

Response: The City repeats its foregoing objection, and specifically denies that it ever acquired or operated the Clearview Landfill or any property that would subject the City to CERCLA owner or operator liability. However, when title to property was transferred to the City, as described in the response to Question No. 11, the existence of the Clearview Landfill was common knowledge among the federal, state and local governments, including the City government. It is denied that the City knew of the existence of "hazardous substances" before the EPA's current allegations.

14. Identify all prior owners of the Philadelphia Clearview Property. For each prior owner, further identify [a. through c. not repeated for brevity].

Response: Without waiving the foregoing general objection, the City notes that, other than whatever information might be within the Office of the Recorder of Deeds, whose records are available to the public at large including the EPA, the City is not aware of the identity of the prior owners to whatever property the EPA refers to as the "Philadelphia Clearview Property."

Notwithstanding the above objections and qualifications, the City possesses documents that may indicate the owners or at least occupiers of some of the land in the vicinity of the Clearview Landfill. According to a page from the 1872 Atlas of West Philadelphia (published by G. M. Hopkins & Co.), the area on which the Clearview Landfill now sits was owned or occupied by Seller's Hoffman or James Maloney. Because maps of this era often included the names of squatters, it is impossible to determine whether these individuals were owners or merely occupiers. According to a page from the 1895 Baist's Property Atlas, the relevant area is designated as the "Clearview Land Company's Tract."

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Further, according to a 1910 Atlas, the surrounding general neighborhood became designated as "Clearview." Copies of all relevant atlas pages were contained in the City's August 23, 2001 document production.

15. Identify all prior operators of the Philadelphia Clearview Property, including lessors, of the Philadelphia Clearview Property. For each such operator, further identify [a. through d. not repeated for brevity].

Response: Without waiving the foregoing general objection, the City is not aware of the identity of the prior operators of whatever property the EPA refers to as the "Philadelphia Clearview Property."

16. Describe in detail, and provide all documents relating to, the conveyance of a portion of the Philadelphia Clearview Property to the Redevelopment Authority of the City of Philadelphia ("Redevelopment Authority") in 1969.

The City believes the EPA misunderstands the direction of the "conveyance" referred to in this question. The City does not as a general matter convey property to the Redevelopment Authority and the City did not do so here. However, the Redevelopment Authority does sometime transfer title to the City, and the Redevelopment Authority did so with certain property in this part of Eastwick in 1969. Therefore, the City treats the EPA's question as one that inquires about the 1969 "conveyance" from the Redevelopment Authority to the City, rather than the other way around.

By way of further explanation, the City notes that the Redevelopment Authority is a state created entity having its own power of eminent domain that it exercises over private landowners in acquiring property for redevelopment. Beginning in the 1950s, the Redevelopment Authority acquired tremendous amounts of acreage in the Eastwick neighborhoods by exercising its power of eminent domain. As explained more fully below, as part of the implementation of the Eastwick urban renewal plan, the Redevelopment Authority, in or around 1969, transferred title to certain property to the City.

a. Please state the intended purpose of this transaction and provide all supporting documentation.

Response: The intended purpose of the so-called "transaction" was to protect human health, safety and welfare and the environment. In regard to supporting documentation, the City would refer to the massive body of documents that comprise the decades of federal, state and local planning for the urban renewal efforts in this part of the City. The City's collection of these documents, to the extent such documents exist in City offices, is a

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continuing effort. A helpful document is the Eastwick Urban Renewal Plan Review, 1982 Policy Paper, a copy of which was contained in the City's August 23, 2001 document production.

The history of the area that would become the site of the Clearview Landfill demonstrates that the renewal efforts of the federal, state and local governments were designed to best protect human health, safety and welfare and the environment. The following description provides the background and reasoning for this conclusion. The City reserves the right to provide additional facts and information, including legal argument, to support this conclusion.

As a matter of general history, this part of the regional landscape was largely marshland. A review of the atlases contained in the City's August 23, 2001 document production, indicates that, in the 19th Century, this marshy area was significantly filled. In that era, the filling would not be with trash or waste, but rather fill from cut lands or, by and large, from wherever the landowner could obtain fill. Landowners engaged in this process to make their property usable for development, which in this case, was intended for residential construction. The atlases indicate that the filling was so significant that, by 1906, it had pushed the flow of Cobbs Creek westerly as much as 1500 feet.

Before that time, the county line was defined as the course of Cobbs Creek. However, with the filling of the marshes came changes in the course of the Creek, causing changes in the county line and causing changes in the political relationship between the counties (including, in all likelihood, changes in the relative amounts of tax revenues collected). Political considerations were affected to the point that the Counties of Delaware and Philadelphia addressed the matter. In 1906, the counties adopted or "fixed" the line by referring to a political boundary that approximated the original course of the Creek.¹

Throughout the late 1800's, and at least as late as the early-to-mid 1900's, this particular area of property has been designated as intended for residential development. This is evidenced by the 1895 Baist's Property Atlas and the 1910 Atlas both of which have residential lots indicated as the intended usage. The 1945 aerial photograph even shows the beginnings of residential lot developments (with no indications of any dump). The 1950 Sanborn map shows proposed residential lots on both

¹ Therefore, as a result of the 1906 action, everything that happened on the west side of this line, including the creation of the Clearview Landfill (which appears from EPA materials to have started in the mid-to-late 1900's), occurred in a location completely outside the jurisdiction or control of the City of Philadelphia. Inside the City boundary, the federal, state and local governments were cooperating to bring about what was known as the preeminent urban renewal plan of its time.

sides of the unmarked county line. As explained below, the second half of the 1900's would see the residential development of this area.

By the 1950's, the City's regulatory system had evolved to the point that the laying out of public streets could only occur after the submission of plans and the review and approval of such plans by City administrative personnel and ultimately by City Council. In other words, the system required that an Ordinance be passed before new streets could be added to the official City Plan. Once Council passed such an Ordinance, the Board of Surveyors accomplished the final step by "confirming" the change to the Plan.

In this general time frame, the relevant area was then known as Eastwick. As trends in socio-economic circumstances combined with political forces, the conditions in that part of Philadelphia became ripe for what American planners called "renewal." The broad background and advancement of this renewal are described in the Eastwick Urban Renewal Plan Review, a copy of which was contained in the City's August 23, 2001 document production.

As indicated in the Plan Review, the City Planning Commission certified the area for urban renewal in 1950 (presumably after a lengthy period of analysis). The land was characterized as being largely undeveloped, low lying and marshy. Most housing was dilapidated, with no private baths and devoid of sanitary or storm sewers. Fifteen percent of the housing was overcrowded. These types of conditions – which brought about serious negative impacts to human health and safety – were part of the problem that urban renewal was designed to reverse.

In 1954, the Eastwick Redevelopment Area Plan provided for overall land use, population density and a basic street pattern for the area. In 1957, the Redevelopment Authority began filling in the details of the plan by proposing specific redevelopment activities, including a "conservation area" located in the northern part of Eastwick (and a clearance and redevelopment area in other sections). In the Urban Renewal documentation, this strip was designated as a "conservation area," meaning that it was part of the City's overall planning strategy to install conservation areas along as many streams and creeks as possible. This was for purposes of environmental protection.

After a significant planning effort, the City approved the overall plan in 1958, at which time the Redevelopment Authority began acquiring property in order to carry out the plan. In 1960 the Redevelopment Authority approved the designs for the physical development of Eastwick. Throughout the 1960's (and later decades) the redevelopment occurred in

various parts of Eastwick. Most of the early redevelopment consisted of land clearing and filling with the assistance of the Army Corp and, later, construction by private developers.

In 1969, the streets in the western part of Eastwick were approved by City Council. Part of this approval included the layout of the streets and the dedication of the conservation area to the public sector (i.e., the City) for "municipal purposes." This was accomplished by an Indenture and a Deed of Dedication, copies of which were contained in the City's August 23, 2001 document production. The 1969/70 Plan, also previously provided, indicates that the Board of Surveyors "confirmed" the layout of new streets and the dedication of the recreational area, thereby effectuating a change in the official City Plan.²

This was the context in which the City became the titleholder to the conservation area on which a City Recreational Facility now sits (for which various descriptive documents were contained in the City's August 23, 2001 document production). Since 1950, this particular area was part of the Eastwick renewal effort and has been the proactive focus of federal, state and local redevelopment efforts designed almost entirely for residential purposes.

In sum, it is clear that the redevelopment and renewal of the Eastwick neighborhoods were accomplished independently of the Clearview Landfill. Indeed, if the Clearview Landfill began in 1953, then the renewal planning process began before any landfill operations. The purposes of the renewal efforts were to improve and protect the public health, safety and welfare and the environment and the "conservation area" was specifically installed for those purposes. The Landfill occurred on land outside the jurisdiction of the city of Philadelphia. If there was any overflow or spillage of waste from the Landfill over the county line, this only turned the City (and its residents) into victims of the Landfill – and not CERCLA owners or operator.

- b. *Does the City or any of its agencies, including but not limited to the Redevelopment Authority, continue to own any portion of the property in question?*

Response: Since 1969, the City has continued to be the record titleholder to the land adjacent to the Landfill on which a City Recreation facility currently exists. It is denied that the City formerly owned or operated or currently owns and operates the Clearview Landfill.

² Generally simultaneous to the planning effort is the legal effort to properly designate various types of intended and proposed land use. This occurs through the zoning process.

- c. *Please describe in detail the land use history of the Site property owned and operated by the Redevelopment Authority following its acquisition in 1969 and up to and including today.*

Response: Please see response to subsection 16.a. above.

- d. *Were any environmental assessments or investigations conducted on the property in question prior to the construction of residential structures on it?*

Response: The City is not aware of the construction of any residential structures on the land to which the City holds title. The City is aware of various environmental assessments, including the February 1976 Final Environmental Impact Statement (prepared by the U. S. Department of Housing and Urban Development), a copy of which has already been provided. The City, at all times, used its best efforts to protect public health and safety and the environment throughout all of its efforts, including the development of Eastwick.

17. Describe the acts or omissions of any persons other than your employees, agents or those persons with whom you had a contractual relationship, that may have caused the release or threat of release of hazardous substances at the Site and damages relating therefrom and identify such persons. In addition:

Response: The City notes that this question includes language taken directly from CERCLA and, pursuant to Instruction #5 in Enclosure E of the 104(e) request, has the meaning set forth in CERCLA. To the extent that such meaning is unclear and is the subject of a large body of caselaw, the City's response is not meant, nor should it be interpreted, as a full factual or legal explanation of the matters into which this question inquires. Without waiving such qualification or any defense, the City states that it has never owned, nor has it ever operated, the Clearview Landfill or any part thereof. Nevertheless, the City believes that any release or threat of release of hazardous substances at the Site and any damages relating therefrom must have been caused by third parties with whom the City had no connection. The City presumes that any such release or threat of release was caused by the owners or operators of the Clearview Landfill.

- a. *Describe all precautions that you took against foreseeable acts or omissions of any such third parties, including, but not limited to Richard or Edward Heller, Clearview Land Development Corporation, Graves Resource Management, Delorenzo (or Dilorenzo) Twin County Disposal Inc., and Roma Associates, and the consequences that could foreseeably result from such acts or omissions.*

Response: Without waiving the foregoing qualification or any defense, the City took precautions against any such releases or threatened releases by cooperating in the renewal of Eastwick to the greatest extent possible for the purposes of best protecting human health, safety and welfare and the environment. The City could not regulate activities that were conducted on the other side of the county line, such as the construction of the Clearview Landfill. The City took reasonable precautions to protect its boundaries from the effects of any neighboring properties.

- b. *Describe the care you exercised with respect to the hazardous substances located at the Site.*

Response: Without waiving the foregoing qualification or any defense, the City exercised due care with respect to any and all environmental matters, taking into consideration the characteristics of any such matters, in light of all relevant facts and circumstances. At no time was the City aware of any "hazardous substance" or any release or threatened release thereof at or from the Clearview Landfill.

18. Describe in detail, and provide all documents relating to, any agreement or arrangement, between the City of Philadelphia, its agencies, and any other entity (including, but not limited to, the U. S. Department of Housing and Urban Development and Korman Corporation) through which houses or other residential structures were constructed on property on or adjacent to the Clearview Landfill during the 1970's in what was once known as the Eastwick Urban Renewal Area and/or New Philadelphia. [Subsections a. – c. not repeated for purposes of brevity.]

Response: The Redevelopment Authority of the City of Philadelphia is a creation of the Commonwealth of Pennsylvania that entered into agreements and arrangements with the developers of residential structures in the Eastwick Urban Renewal Area. The Redevelopment Authority is a separate legal entity from the City of Philadelphia. The City has produced the requested documents in its possession located to date. However, the City did not itself enter into such contracts, and the Redevelopment Authority is more likely than the City to have some of the requested documents.

19. Representative of the City of Philadelphia:

- a. *Identify the person(s) answering these questions on behalf of the City, including full name, mailing address, business telephone number, and job title.*
- b. *Provide the name, title, current address, and telephone number of the individual representing the City to whom future correspondence or telephone calls should be directed.*

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Response: These answers have been answered by the City's legal counsel after reviewing documents and conducting interviews with current employees from various City agencies. All future communications should be directed to the City's legal representative, as follows:

Patrick K. O'Neill, Esquire
City of Philadelphia, Law Department
One Parkway, 1515 Arch Street
Philadelphia, PA 19102-1595
(215) 683-5172

20. If any of the documents solicited in this information request are no longer available, please indicate the reason why they are no longer available. If the records were destroyed, provide us with the following:

- a. Your document retention policy;*
- b. A description of how the records were/are destroyed (burned, archived, trashed, etc.) and the approximate date of destruction;*
- c. A description of the type of information that would have been contained in the documents; and*
- d. The name, job title, and most current address known to you of the person(s) who would have produced these documents; the person(s) who would have been responsible for the retention of these documents; and the person(s) who would have been responsible for the destruction of these documents.*

Response: The City is not aware of any specific responsive documents that are no longer available. The City attaches a copy of its Citywide Records Schedule.

Thank you for your consideration of these responses. Please feel free to contact me if the agency should have any additional questions or comments or if you would like to discuss this matter further.

Very truly yours,

A handwritten signature in black ink, reading "Patrick K. O'Neill". The signature is fluid and cursive, with the first name "Patrick" and last name "O'Neill" clearly legible.

Patrick K. O'Neill
Senior Attorney

Attachment

cc: Daniel W. Cantú-Hertzler, Corporate Chair

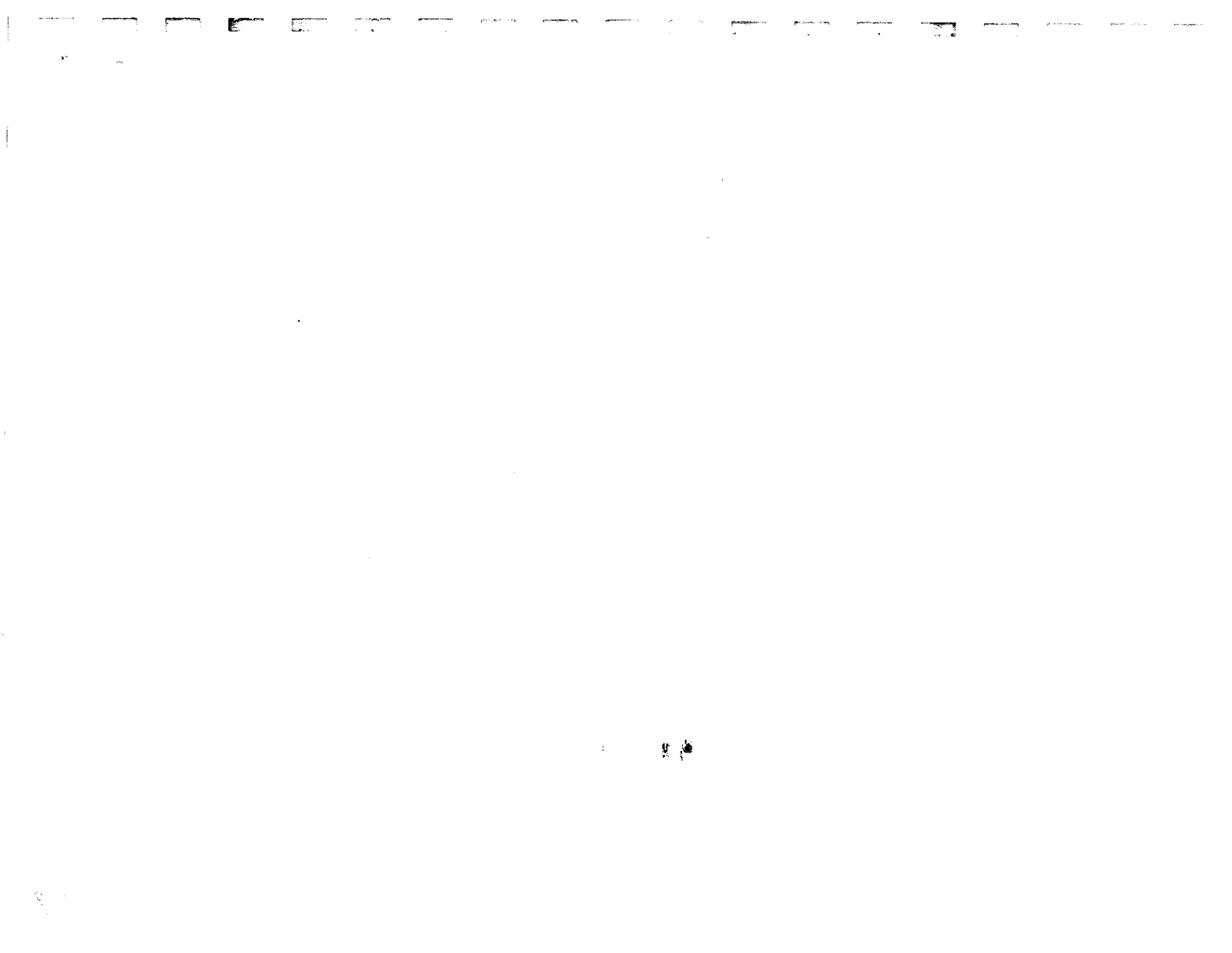


***City of Philadelphia
Department of Records
Records Management***

Citywide Records Schedule

Produced with funds provided by the National Historical
Publications and Records Commission

Prepared by David S. Miller, Records Management Analyst II



**City of Philadelphia
Department of Records
Records Management**



Citywide Records Schedule

Approved by the Administrative Board: May 29, 1996

The Records Management Unit establishes and enforces recordkeeping standards for all government records. Using the powers designated by the City Charter, the Unit controls the City's costs by supervising the retention and disposition of records through the use of records retention schedules; ensuring the maintenance of records having continuing administrative, fiscal, legal and historical or research value; reducing records storage and equipment costs and other City resources; designing and controlling the forms necessary for the transaction of business; and developing more efficient recordkeeping systems.



City of Philadelphia
Edward G. Rendell
Mayor

Department of Records
Joan T. Decker
Commissioner

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Introduction to the *Citywide Records Schedule*

The Department of Records is the unit of government designated by the Philadelphia Home Rule Charter (Section 5-1100) to oversee the management of the records of the City of Philadelphia. The Department provides assistance, guidance, and professional expertise to ensure that City records are properly managed and disposed of under guidelines outlined in "records retention schedules."

The *Citywide Records Schedule*, approved by the Administrative Board in June 1996, lists record series commonly found in City departments, boards, and commissions. (Record series are groups of related records that are usually filed together and retained for the same length of time.) This schedule supersedes the 1964 *Records Retention and Disposition Schedule for City Wide Records*.

The *Citywide Records Schedule* is intended for use by all City departments, boards, and commissions. In the schedule, record series are classified by subject. The agency responsible for the official record copy is noted where applicable. **Record series unique to your agency and records for which your agency is the "office of record" are not listed on this schedule.** For those records, refer to the retention schedule created specifically for your agency.

The Department of Records recommends monitoring your records regularly to determine those that should be sent to off-site storage, or destroyed in compliance with an official records retention schedule. By following the instructions in the *Citywide Records Schedule* and your own agency schedule, your agency can

- realize significant savings in space and labor,
- ensure the security and preservation of valuable documents, and
- protect against liability for improper handling of official records.

The Department of Records' approval is required prior to disposing all City records (Philadelphia Home Rule Charter Section 8-211 and Administrative Board Rule 8). Procedures regarding records destruction are provided in the Appendix for your information and convenience.

If you have records on the *Citywide Records Schedule* with special requirements that conflict with the stated retentions, or you cannot locate a specific series in this or your agency's records retention schedule, contact the Department of Records, Records Management Unit at 686-2284. Analysts are available to consult on policies and procedures, and to provide technical advice.

This retention schedule is available online via the City's Records Management Information System (RMIS), and is merely a print-out from that system. In addition to its record scheduling capabilities, RMIS uses keyword searching and bar code technology to ease the retrieval and tracking of records. For more information on how to connect to RMIS, contact the Department of Records, Records Management Unit.

Suggestions For Better Records Management

Records management involves controlling records from creation to final disposition, whether through destruction or transfer to the City Records Center or City Archives. This schedule and following suggestions will help agency Records Management Officers, Records Management Liaisons, and staff control the creation, distribution, storage, retrieval, and disposition of administrative records.

I. Create and Maintain Adequate Recorded Documentation

Agencies should use this schedule to organize both manual **and** automated files, establish or refine recordkeeping systems, and design information flows that are consistent with records management principles. Use of this schedule will help agencies create and maintain adequate documentation. Documentation of administrative activities must be complete, purposeful, and useful to managers for controlling operations, as well as to outside auditors or others involved in analyzing operations. This schedule may serve as a guide in designing manual files and automated access and retrieval systems, and in planning for records equipment, supplies, and storage needs. During the initial design of records and information systems, agency staff should give due attention to future needs for retrieval, security, disposition, and preservation of the records.--

II. Relate Administrative Records to Specific Schedule Entries

This schedule ~~covers~~ covers all copies of records maintained in central or outlying administrative offices. The record series descriptions in the schedule encompass the variety of ways in which agencies maintain their records. Therefore, the titles and descriptions of record series may not reflect the exact titles or filing arrangements used by each agency. Agencies have flexibility in applying the schedule for their specific needs, as long as records are kept at least as long as the minimum retention set forth in this schedule. Agencies should review the title and description of the record series to help determine whether an item applies to a particular series of records. If you are not certain whether the schedule applies to a specific group of records or if you need assistance with records not covered by this schedule, please contact your agency's Records Management Officer or the Department of Records, Records Management Unit for advice and assistance.

III. Use Schedule to Classify Subject Files

Units often interfile their copies of administrative records in general subject files. The general categories used to organize this schedule may serve as a useful guide for classifying subject files in units. In some cases, staff may find it helpful to purge these files on a regular basis using the schedule as a guide to identify obsolete records that may be discarded. However, because purging is labor intensive and time consuming, it usually is not an effective way to remove obsolete records from large subject files. Units can employ file cutoffs in which all

records created during a specific period of time (e.g., one fiscal or calendar year) are kept for the longest retention period required for any of the interfiled records, and then dispose of the obsolete records together as a unit. Agencies should consider redesigning filing systems if regular disposition of obsolete records is problematic.

IV. Dispose of Records on a Regular Basis

An agency may use this schedule to dispose of obsolete records on a continuing basis after the minimum retention periods have been met. Disposition should be carried out periodically (at least annually). To facilitate orderly disposition of paper records, agency staff should review filing arrangements, cut off files periodically, and develop procedures to segregate inactive and obsolete files. Using this schedule, agencies should also develop and implement procedures for purging electronic records from automated information systems on a regular basis.

Disposition of electronic records can include downloading them to off-line storage media such as magnetic tapes/diskettes, as well as their eventual deletion or erasure. If files have not been purged for several years, this schedule may identify a significant volume of obsolete records that can be destroyed immediately following the procedure found at the back of this schedule.

Prior to disposal, agencies should ensure that no legal action has been initiated which might require access to records. This is particularly important for records having a retention period based upon a legal statute of limitation because of the possibility that legal actions may have begun during the last days of the limitation period.

V. Retention of Records Longer Than the Authorized Minimum Period

Generally, records should be destroyed when the minimum retention period has been met, unless the records are being used in an audit or legal action, or if the agency requires them for specific reference or administrative purposes. Obsolete records consume expensive office space and computer storage capacity, and can hinder efficient access and retrieval of current records. Implementation of the schedule will allow agencies to destroy obsolete inactive records in a timely manner.

Specific or temporary situations in an agency may create the need for retention periods that exceed the minimum retention periods in this schedule. Examples of situations that may require longer retention periods include stringent internal audit requirements, use of records to conduct research or monitor long-term trends, or the need to use records for ongoing investigations. If agencies intend to retain records longer than the minimum retention periods as a regular business practice, they should document this intent in written internal procedures and inform the Department of Records, Records Management Unit. This will provide documentation of normal practice for legal actions such as discovery motions, or to justify continued storage of records in the City Records Center or City Archives.

VI. Identify and Protect Vital Records

Agencies should identify vital records through risk assessment and provide for their security and protection. Vital records are those records that are essential to the operation of the agency and that would be required to resume and continue government operations after a disaster, to recreate the legal and financial status of the agency, or to fulfill obligations to the public and employees. Examples of vital administrative records might include policies and procedures for particularly significant agency activities, data documentation for critical electronic information systems, and unique records documenting crucial physical plant structures and operating systems. Protection of vital records generally requires creation of alternate copies, such as by microfilming or by creating backup electronic tapes to be stored in a secure off-site location.

VII. Store Inactive Records Off-Site

The City Records Center and the City Archives, operated by the Department of Records, provide safe, low-cost storage and reference and retrieval services for inactive records. Inactive records not needed on a regular basis to conduct current business may be stored more cost effectively at the Records Center. Agencies that need to retain records in the Records Center longer than the minimum retention periods on this schedule may do so, if a written justification for the longer retention is provided. Agency program staff should contact their Records Management Officer or a Records Management Liaison to apply for transfer of records to the Records Center or City Archives.

City of Philadelphia Department of Records
Citywide Records Schedule
May 1996

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Series Number/Title/Description	Forms	On-site Retention	Off-site Retention	Vital	Confid.	Office of Record
Activity and Production Series Series related to scheduling, planning, and reporting on routine or recurring activities in agencies or program units						

Retention codes: **ACT** = Completion of an action, **AUD** = Audit date, **CLO** = Case closure, **CR** = Creation date, **CY** = Calendar year, **FY** = Fiscal year, **PRM** = Permanent, **SEP** = Employee separation, **SUP** = Superseded
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City of Philadelphia Department of Records
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May 1996

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Series Number/Title/Description	Forms	On-site Retention	Off-site Retention	Vital	Confid.	Office of Record
GS-AP-0001 Work Production Reports Occasional and periodic reports, work load reports, work progress reports, backlog and production reports, and cumulative and summary reports used to monitor and document recurring and routine activities or production.	06-290, 12-215, 12-297, 14-23, 17-95, 17-96, 17-128A, 17-130, 17-131, 17-148, 17-151, 17-200, 17-201, 20-L247, 20-L320AB, 20-560, 20-P610BC, 20-P623, 20-S634, 28-08, 28-235, 28-273, 55-PN283, 55-D377, 55-PN1016, 55-A1851, 55-IH2277, 55-PN2302, 70-269, 71-395, 72-180, 77-78, 77-181, 77-307/A, 77-398, 77-404, 77-459, 77-497, 78-04, 78-162, 78-207, 78-222, 78-276, 78-293, 79-36A, 79-245, 79-270, 79-282, 79-283, 79-353, 79-693, 79-696, 79-697, 80-254, 80-514, 81-MISC154, 81-MISC198, 81-664, 81-665, 81-670, 81-697, 81-770, 81-797, 81-865, 82-MISC44, 82-MISC45, 82-MISC45A, 82-MISC50, 82-MISC51, 82-MISC54, 82-65, 82-66, 82-85, 82-101, 82-118, 82-132, 82-164, 82-189, 82-221, 82-242/A, 82-S48, 82-314, 83-A206, 83-A218A, 83-A220, 83-T326, 85-258, 85-363, 85-474	CY+2	None	No	No	

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City of Philadelphia Department of Records
Citywide Records Schedule
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Series Number/Title/Description	Forms	On-site Retention	Off-site Retention	Vital	Confid.	Office of Record
GS-AP-0002 Routine Scheduling Calendars, lists, and logs used by agencies and program units to schedule routine activities.	04-166, 10-110, 12-198, 12-270/A, 17-146/A, 20-463, 20-L158, 20-597, 55-PN1198, 55-F1736, 55-IH2202, 55-PN2230, 55-CO2270A, 70-266, 71-397, 76-51, 76-59, 76-120/P, 77-306, 78-MISC30, 78-65, 78-298, 78-298/A, 79-161, 79-275, 79-301, 79-375, 79-471, 80-233, 80-288, 80-313, 80-558, 80-591, 80-594, 81-MISC210, 82-S08, 83-A251, 83-A254, 85-MISC20, 85-68, 85-281, 85-362, 85-418, 97-MISC03	CY	None	No	No	
GS-AP-0003 Service level reports Reports prepared to demonstrate level and quantity of services performed for the public and other clients, including production and dissemination reports.	20-S634, 55-A297, 55MCH1170, 55-CH1234, 55A2281AC, 55-A2295, 55-DH2330, 55OAS2383, 55-A2499, 55-F2499, 75-305, 76-114, 79-28, 82-135	CY+5	None	No	No	

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UNIVERSITY
14-001

Series Number/Title/Description	Forms	On-site Retention	Off-site Retention	Vital	Confid.	Office of Record
Administrative Planning, Analysis, Procedures Series Series related to the evaluation of organization structure, operations, work force, and procedures.						
GS-AD-0001 Major Studies Major studies initiated by the agency head, or conducted in response to an audit, executive order, or a court order. They generally address agency wide operations or issues, affect the largest or most critical agency functions, or involve issues of public visibility or concern.	None	ACT+3 Retain 3 years after completion of report	None	No	No	

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Series Number/Title/Description	Forms	On-site Retention	Off-site Retention	Vital	Confid.	Office of Record
GS-AD-0003 Policies and Procedures Generated Administrative policies are generally issued by the agency head or executive to address agency wide operations, critical agency functions, or issues of public concern. They are formally promulgated and often take the form of executive orders, directives, memoranda, and printed or published bulletins.	12-289, 55-MISC143, 55-MISC143A, 71-MISC08, 71-MISC09, 71-MISC26, 80-220, 81-744AB, 81-934, 82-305AB, 83-T127, 83-E444, 85-MISC82, 85-556, 85-575	SUP	PRM	No	No	
GS-AD-0004 Policies and Procedures Received Administrative policies and procedures, originating elsewhere, that are received in the normal course of business.	12-289, 55-MISC143, 55-MISC143A, 71-MISC08, 71-MISC09, 71-MISC26, 80-220, 81-744AB, 81-934, 82-305AB, 83-T127, 83-E444, 85-MISC82, 85-556, 85-575	SUP	None	No	No	

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Series Number/Title/Description	Forms	On-site Retention	Off-site Retention	Vital	Confid.	Office of Record
Budget Preparation Series Series related to the development and submission of agency budget requests, and their subsequent review and approval.						
GS-BP-0001 Executive Budget Preparation Files Records created during process of preparing agency's budget request, including cost statements, estimates, justifications, narrative statements, reports, and other pertinent data.	02-40, 55-MISC131, 55-MH2421, 55-MH2422, 70-304, 71-53MDO, 71-265, 71-270/A, 71-328, 71-376A-C, 79-497, 83-A116	FY+5	None	No	No	
GS-BP-0002 Sub-Unit Budget Preparation Files Records created and used by program managers to develop budget request including cost statements, estimates, justifications, narrative statements, spread sheets, and pertinent background materials.	02-40, 55-MISC131, 55-MH2421, 55-MH2422, 70-304, 71-53MDO, 71-265, 71-270/A, 71-328, 71-376A-C, 79-497, 83-A116	FY+5	None	No	No	

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Series Number/Title/Description	Forms	On-site Retention	Off-site Retention	Vital	Confid.	Office of Record
GS-BP-0003 Budget Request Copy of the final budget request created by an agency budget unit and supporting materials that document communication between the agency and the funding department, as well as negotiations and review after agency budget submission.	02-40, 55-MISC131, 55-MH2421, 55-MH2422, 70-304, 71-53MDO, 71-265, 71-270/A, 71-328, 71-376A-C, 79-497, 83-A116	FY+3	None	No	No	Finance Department

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Series Number/Title/Description	Forms	On-site Retention	Off-site Retention	Vital	Confid.	Office of Record
Employee Relations Series Series related to the programs and activities that establish and implement the terms and conditions of collective bargaining agreements and civil service requirements.						
GS-ER-0001 Labor Relations Grievances Labor relations grievances (excepting EEO) that may include investigation records, hearing proceedings, decisions rendered by employer, employee appeal, records of arbitration procedures, final decisions, and related correspondence.	76-54	CLO+3	None	No	Yes	Personnel Department
GS-ER-0002 Subject Files Records supporting agency employee relations programs, arranged by subject, and consisting of correspondence, memoranda, and related attachments.	None	ACT+3 Retain 3 years after new contract takes effect	None	No	No	

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Series Number/Title/Description	Forms	On-site Retention	Off-site Retention	Vital	Confid.	Office of Record
Equal Employment Opportunity Series Series that relate to the administration, direction, and support of an agency's equal employment programs. These may include any series related to compliance with civil rights bills, the Rehabilitation Act, the Equal Pay Act, the EEO Act, and the Americans With Disabilities Act.						
GS-EE-0001 Program Policy Reports Copies of reports prepared for oversight agencies regarding EEO and affirmative action policies, programs, and activities, including the affirmative action plan and its semi-annual updates. These records establish equal employment goals and support their achievement in compliance with state and federal requirements.	84-MISC22	CY+1	None	Yes	No	Personnel Department

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1000-1-1000

Series Number/Title/Description	Forms	On-site Retention	Off-site Retention	Vital	Confid.	Office of Record
GS-EE-0002 Equal Employment Complaints <i>Case files for discrimination charges made by employees against an agency and the records documenting their resolution. Files generally include complaints, agency responses, and decisions. May also include correspondence, exhibits, recordings, depositions, notes, transcripts, and appeals.</i>	None	CLO+1	None	Yes	No	
GS-EE-0003 Recruitment Plans and Reports Records documenting search committees, job advertising, recruitment and outreach plans, screening criteria, statistics on applicants, and related records created to document compliance with affirmative action policies and plans.	None	CR+3	None	No	No	Personnel Department

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Series Number/Title/Description	Forms	On-site Retention	Off-site Retention	Vital	Confid.	Office of Record
GS-EE-0004 Subject Files Correspondence, memoranda, and related materials arranged by subject and used to administer an agency affirmative action program on topics such as career planning, harassment, recruitment, discrimination, and diversity.	None	CY+3	None	No	No	

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2000
10000

Series Number/Title/Description	Forms	On-site Retention	Off-site Retention	Vital	Confid.	Office of Record
Equipment, Supplies, and Vehicle Management Series Series related to the control, use, and maintenance of city-owned property, equipment, and other resources, excluding real property or fixed assets.						
GS-EQ-0001 Equipment and Furniture Inventory Inventory of equipment describing each item, indicating its location, and providing cumulative totals of each type of agency-owned or -leased equipment.	17-153, 20-P624/A, 55-D868, 55-MH868A, 68-S161, 68-S162, 77-287, 78-310, 78-316ABC, 79-359, 79-494, 80-427, 80-516, 82-MISC60, 83-A242, 85-578, 85-584	CR+3	None	No	No	Finance Department Department of Public Property

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City of Philadelphia Department of Records
Citywide Records Schedule
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Series Number/Title/Description	Forms	On-site Retention	Off-site Retention	Vital	Confid.	Office of Record
GS-EQ-0002 Supply Inventory <i>Inventory used to manage stock of expendable materials such as office supplies, commodities, and parts, describing the materials and indicating current stock balances.</i>	20-P624/A, 55OAS2401, 68-S161, 68-S162, 71-89, 71-S93, 77-287, 78-MISC-58, 78-310, 78-316ABC, 79-359, 80-83, 80-249, 80-249A, 80-516, 82-MISC60, 82-172, 82-172/A, 82-172B, 82-172C, 82-172D, 83-A242, 85-525	CR+3	None	No	No	Procurement Department Department of Public Property
GS-EQ-0003 Equipment Maintenance <i>Records documenting service and repairs to agency equipment, excluding motor vehicles. They normally include maintenance orders, logs, copies of fiscal documents such as requisitions or purchase orders for parts or services, warranties, operation and repair manuals, and parts lists.</i>	14-25, 14-37, 17-28, 17-104, 17-197, 17-198, 17-202, 20-L585, 55-PN317, 76-101, 77-24, 77-268, 77-414, 77-490, 77-490/A, 78-32, 78-150, 78-269, 78-325, 79-281, 79-341, 79-586, 79-625, 79-630, 79-645/AB, 79-670, 79-690, 79-742, 79-744, 79-751, 79-770, 80-123, 80-197, 80-288, 80-406, 80-463, 80-594, 81-509, 81-510, 81-638, 82-S63, 83-A128, 83-A201, 85-16	ACT+2 Retain 2 years after equipment is sold, transferred, or otherwise disposed	None	No	No	

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Series Number/Title/Description	Forms	On-site Retention	Off-site Retention	Vital	Confid.	Office of Record
GS-EQ-0004 Motor Vehicle Maintenance Maintenance records include those related to service and repair, warranty and guarantee statements, and the operating manual. They may include maintenance orders and logs, requisitions and purchase orders for parts, and parts lists.	12-294, 17-180, 20-F665, 55-MISC151, 75-451, 75-548, 77-435, 79-MISC50, 79-366ABC, 79-747, 80-52/A, 80-54, 80-S153, 80-S174, 80-351, 81-928, 82-S37, 82-S71	ACT+2 Retain 2 years after vehicle leaves City control	None	No	No	Office of the Managing Director - Fleet Management
GS-EQ-0005 Motor Vehicle Operations Records may include logs of gas and oil consumption, assignment dispatching, and scheduling.	12-269, 17-121, 17-125/A, 20-F667, 20-F671, 55-PN2332, 70-253, 72-296, 76-70, 77-70, 77-83, 77-160/A, 77-212, 77-332, 79-74, 79-436, 79-460, 79-649, 79-756, 80-04, 80-184, 80-581, 81-669, 85-540, 85-543, 85-567	AUD+2	None	No	No	Office of the Managing Director - Fleet Management
GS-EQ-0006 Supply and Parts Disbursement Records documenting disbursement of office supplies, commodities, parts, and other expendable materials.	03-45, 12-34, 20-602, 20-P614, 55-D2076, 68-164, 71-S91/A, 71-S92, 77-131, 77-289, 78-37, 78-143, 79-85, 79-86, 79-170, 79-232, 79-623, 80-249, 80-249A, 85-525, 85-584	FY+2	None	No	No	Procurement Department

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Series Number/Title/Description	Forms	On-site Retention	Off-site Retention	Vital	Confid.	Office of Record
Facilities Management Series Series related to the operation and maintenance of buildings or other facilities owned or rented by the city, including fixed asset management; building and grounds maintenance; space planning and allocation; disaster planning; and parking assignment and control.						
GS-FM-0001 Facility Use Scheduling Records documenting requests to use facilities (e.g., meeting rooms) and the schedules resulting from those requests.	20-L112, 78-129, 80-591	CY+2	None	No	No	
GS-FM-0002 Facility Maintenance Records documenting requests for maintenance work and logs of work completed.	14-MISC12, 14-20, 14-24, 20-L285, 55-D1005, 55-A2402, 76-80, 76-121, 77-40, 77-171, 77-237, 77-241, 77-451, 79-686, 79-751, 79-755, 80-101, 80-191	ACT+2 Retain 2 years after work is completed	None	No	No	Department of Public Property

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Series Number/Title/Description	Forms	On-site Retention	Off-site Retention	Vital	Confid.	Office of Record
GS-FM-0003 Tenant Lease Records Records documenting negotiations for and completion of leases for office space and other facilities, subsequent communications with landlords, and other records related to tenancy, including lease approvals and copies of fiscal documents.	80-528	ACT+2 Retain 2 years after end of lease	None	No	No	Law Department
GS-FM-0004 Parking Permit Application/Assignment Applications for parking spaces, waiting lists, and assignments for spaces.	70-243, 72-38ABC, 72-57, 75-100, 81-MISC216	ACT+/06 Retain 6 months after permit expires	None	No	No	
GS-FM-0005 Building Admittance and Visitor Logs Logs of entry to and exit from agency facilities containing visitor name, organization or business, address, reason for visit or person/unit visited, and dates and times of entry and exit.	None	CY+2	None	No	No	

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Series Number/Title/Description	Forms	On-site Retention	Off-site Retention	Vital	Confid.	Office of Record
GS-FM-0006 Incident and Investigation Records Records documenting security-related incidents and investigations by agency staff and external investigators. These records include but are not limited to complaints, incident reports, accident reports, reports of stolen property, and emergency response records.	14-18, 17-204, 20-P562, 28-262, 55-PN275, 55-X1123, 55-MH2504, 70-291, 77-170, 78-342, 79-677, 80-44A, 80-S44, 81-918, 82-S47, 82-S47AB, 82-MISC49B, 82-S94, 83-E18, 83-E286, 85-179, 85-463, 85-475, 85-485, 85-564, 85-576	ACT+5 Retain 5 years after investigation is closed or dropped	None	No	No	
GS-FM-0007 Disaster Plans Disaster preparedness and evacuation plans for agency-owned and occupied buildings. These records may include correspondence, risk assessments and vulnerability studies, disaster/contingency and evacuation plans, training and educational materials, and supporting records.	55-F2286, 76-112, 85-281, 85-324	SUP+2	None	Yes	No	

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Series Number/Title/Description	Forms	On-site Retention	Off-site Retention	Vital	Confid.	Office of Record
General Administrative Series Series related to general administration and management.						
GS-GA-0001 Subject Files Correspondence, memoranda, and related records arranged by subject and used to support general administration.	None	CY+1	None	No	No	
GS-GA-0002 Minutes Records of the meeting of official committees, commissions, boards, and councils indicating date, names of members present and absent, issues discussed, motions, reports, actions taken, and all other records accepted and approved as part of minutes. May also include agendas and supporting records.	80-415	CR+1	PRM	Yes	No	

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Series Number/Title/Description	Forms	On-site Retention	Off-site Retention	Vital	Confid.	Office of Record
GS-GA-0003 Reference Includes publications, pamphlets, technical manuals, and other documents that facilitate office operations. Also included are studies, analyses, cross reference indexes, surveys, and precedent materials. These items are usually generated externally.	None	SUP	None	No	No	
GS-GA-0004 Correspondence Correspondence and memoranda maintained as reader file, tickler, or the like.	None	CY+2	None	No	No	
GS-GA-0005 Publications Works of any kind that are published for external distribution.	None	CR+5*	PRM	No	No	*Note: Send one copy to Archives upon publication.
GS-GA-0006 Executive subject files Correspondence, memoranda, and related records arranged by subject and used to support executive management.	None	CY+5	None	No	No	

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Series Number/Title/Description	Forms	On-site Retention	Off-site Retention	Vital	Confid.	Office of Record
General Fiscal Series Series related to the activities undertaken to manage, account for, and collect funds, excluding budget preparation and purchasing.						
GS-GF-0001 Subject Files Records used to support general agency fiscal management (usually arranged alphabetically by subject) including correspondence, memoranda, and general fiscal matters.	None	FY+5	None	No	No	
GS-GF-0002 Accounts Payable Records used by agency to track and monitor the claims and payment process on a daily basis, including logs, registers, listings, and payment vouchers.	06-266, 12-177, 17-182, 20-MISC56, 20-S628, 71-19, 71-20/A-1, 71-20/A-2, 71-153, 71-380, 72-182, 77-346, 78-10, 78-184, 78-300, 78-315, 79-211, 79-742, 80-41, 81-270/A, 81-373, 81-855, 81-940, 83-A15, 83-A61, 83-A61A, 83-A267, 83-E92, 83-E376, 83-E409, 83-E492, 83-F26A, 83-T193, 83-E78T, 83-T563	AUD+1	None	Yes	No	Finance Department City Controller

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Series Number/Title/Description	Forms	On-site Retention	Off-site Retention	Vital	Confid.	Office of Record
GS-GF-0003 Financial Studies Reports and studies created for fiscal, accounting, and administrative review or analysis by the agency, another city agency, a federal agency, or an external party including facility usage reports, cost comparison studies, and other special reports or studies.	None	FY+5	None	No	No	

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Series Number/Title/Description	Forms	On-site Retention	Off-site Retention	Vital	Confid.	Office of Record
GS-GF-0004 Accounts Receivable Record of amounts owed on an open agency account, including logs, registers, and related records.	12-177, 20-L233, 55-MISC153, 55-PN1766, 70-229, 71-19, 71-20/A-1, 71-20/A-2, 71-S215, 72-28, 72-100, 72-101, 72-102, 72-110, 72-285, 77-38, 79-40, 79-269, 79-391, 81-135, 81-248, 81-312, 81-959, 83-A61, 83-A298, 83-E42C, 83-E54, 83-E62, 83-E62A, 83-E89A, 83-E110, 83-E225, 83-E312, 83-E422, 83-E458, 83-E474, 83-484, 83-492, 83-T11A, 83-T25, 83-T26, 83-T46, 83-T118/A, 83-T332, 83-T434, 83-T462, 83-T462A, 83-T501, 83-T522, 83-T631, 85-19, 85-MISC64, 85-188	AUD+1	None	Yes	No	Finance Department City Controller

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Series Number/Title/Description	Forms	On-site Retention	Off-site Retention	Vital	Confid.	Office of Record
GS-GF-0005 Receipts Records that document payment of monies received by agency from clients, customers, etc. for fees or services rendered.	06-256, 10-09, 10-09A, 10-116, 11-244, 11-279, 12-29, 12-41, 12-77, 12-103, 12-172A, 12-172B, 12-172C, 12-175, 12-176A, 12-195, 17-158, 20-L195, 20-541, 20-F669, 55-X687, 68-177, 71-51, 71-248, 72-288, 82-50, 82-S57, 82-108, 82-231, 83-A268, 83-F03, 95-38	AUD+1	None	Yes	No	Procurement Department
GS-GF-0006 Cash Register Accounting Records used to reconcile sale with cash on hand at the end of each day.	10-81, 12-29, 12-41, 12-51, 12-77, 12-172A, 12-172B, 12-172C, 12-175, 12-176A, 12-195, 14-26, 14-28/A, 20-L196, 71-125, 82-50, 82-95, 82-96, 82-108, 82-317	AUD+1	None	Yes	No	City Controller

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Series Number/Title/Description	Forms	On-site Retention	Off-site Retention	Vital	Confid.	Office of Record
Grant Related Series Series related to the administration of grant funded programs.						
GS-GR-0001 Grant Fiscal Accounting Records related to the receipt and distribution of grant monies, including budget proposals, amendments, actual expenses, related correspondence, and memoranda.	71-53, 71-320, 77-S359	AUD+3	None	Yes	No	
GS-GR-0002 Grant Program Records include proposal, application, agreement, narrative, evaluation, and any reports generated under a grant.	20-644, 83-E488/A	AUD+5	None	No	No	

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Series Number/Title/Description	Forms	On-site Retention	Off-site Retention	Vital	Confid.	Office of Record
Health and Safety Series Series related to compliance with health and safety standards and the storage and use of toxic substances.						
GS-HS-0001 Toxic Substance Notification Records documenting notification by agencies to employees of the existence of toxic substances in the workplace and the potential effects of exposure to these substances, including correspondence, memoranda, material safety data sheets, or related records documenting transmission of information.	None	SEP	SEP+40	Yes	No	Finance Department - Risk Management Division
GS-HS-0002 Employees Handling Toxic Substances Records of names, addresses, and social security numbers of employees who handle or use substances included in section 1910 of the federal occupational safety and health regulations, subparagraph Z.	76-125	CY+1	CY+40	Yes	No	Finance Department - Risk Management Division

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Series Number/Title/Description	Forms	On-site Retention	Off-site Retention	Vital	Confid.	Office of Record
GS-HS-0003 Employee Occupational Injury/Illness Records documenting recordable occupational injury and illness (except those related to hazardous substance exposure), including incident logs, summary records, supplementary records, OSHA forms, correspondence, and memoranda.	OIDC-344, 14-08, 77-485, 82-S58, 82-S62	CR+3	None	No	Yes	Finance Department - Risk Management Division
GS-HS-0004 Toxic Substance Training/Education Course material, attendance records, correspondence, and memoranda documenting the training and education of employees in the proper use and handling of toxic substances, and compliance with federal Occupational Safety and Health Administration (OSHA) requirements.	76-112, 76-127	ACT+3 Retain 3 years after course is completed	None	Yes	No	Finance Department - Risk Management Division

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Series Number/Title/Description	Forms	On-site Retention	Off-site Retention	Vital	Confid.	Office of Record
Personnel and Payroll Series Series related to recruitment and appointment of staff, monitoring and developing the work force, and managing the payroll.						
GS-PR-0001 Employee History Records related to individual's employment with agency. Generally include appointment letters, evaluations, disciplinary actions, veterans status certifications, resumes, memoranda and correspondence related to employee, and health insurance enrollment information.	02-23, 14-13, 14-36, 20-S641, 72-299, 73-06, 73-06A, 73-07, 73-07A, 73-09, 73-09A, 73-09G, 73-28, 73-28A, 73-28B, 73-28C, 73-28F, 73-29, 73-29A, 73-32, 73-32A, 73-39, 73-52, 73-55, 73-58, 73-60, 73-S64, 73-65, 73-66, 73-76, 73-77, 73-78, 73-S79, 73-92, 73-94, 73-S97, 73-S98, 73-S122, 73-125, 73-164, 73-179, 73-238, 73-255, 73-256, 78-MISC63, 78-291, 78-323, 78-327, 81-602, 82-S09, 82-S09F, 82-S22, 82-S55, 83-A264, 85-550, 98-22	SEP+2	None	No	Yes	Personnel Department

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1995

Series Number/Title/Description	Forms	On-site Retention	Off-site Retention	Vital	Confid.	Office of Record
GS-PR-0002 Employment Inquiry/Application Job applications, resumes, letters of recommendation, and other records submitted to agencies for employment consideration.	20-535/A, 20-555, 20-P608, 73-09, 73-09A, 73-09B, 73-09G, 73-09J	ACT+1 Retain 1 year after particular job is filled	None	No	Yes	Personnel Department
GS-PR-0003 Employee Identification Records verifying identification of employee, excluding police and fire personnel. May include photograph and unique identifying number or code.	11-79A, 20-04, 20-04XYAC, 76-122, 82-MISC52	SEP+2	None	Yes	No	
GS-PR-0004 Emergency Information Lists Includes information necessary to contact employees at home in case of emergency.	None	SUP+2	None	No	Yes	

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Series Number/Title/Description	Forms	On-site Retention	Off-site Retention	Vital	Confid.	Office of Record
GS-PR-0005 Subject Files Records used to support general agency personnel administration (usually arranged alphabetically by subject) including reports, correspondence, and memoranda pertaining to employee benefits, health insurance, retirement, and personnel policies and procedures.	None	CY+1	None	No	No	
GS-PR-0006 Worker's Compensation Cases Documents incidents of city employees injured on the job or in the line of duty that result in a compensation claim. May include personal injury reports, vehicle accident reports, invoices, medical bills, police reports, and correspondence.	LIBC-340, LIBC-496, 28-223, 28-224, 71-173, 71-301, 71-301A, 71-301B	ACT+1 Retain 1 year after expiration of stipulations of case settlement	None	No	Yes	

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Series Number/Title/Description	Forms	On-site Retention	Off-site Retention	Vital	Confid.	Office of Record
GS-PR-0007 Payroll Processing Records of employee hours worked, recorded on time sheets, registers, and vouchers, including overtime certification sheets, vacation exchange information, and other records used to account for time and attendance.	02-30, 04-05, 06-MISC53, 12-279, 14-01, 14-03, 14-10, 14-14, 14-17, 16-55, 17-101/AB, 20-L16, 20-MISC30, 20-MISC31, 20-MISC40, 20-L213, 20-L268, 20-479, 20-541, 20-P611, 20-P612, 20-P613, 20-P617, 20-F650, 24-52, 55-MISC152, 55-D377, 55-D755, 55-PN1538, 70-S02A, 70-S02B, 70-S02C, 70-S02F, 70-266, 71-05, 71-09, 71-14-1, 71-14-2, 71-102, 71-169, 71-190, 71-195, 71-204, 71-210, 71-228, 71-229, 71-250, 71-268, 71-279, 71-291, 71-366, 71-367, 71-381, 71-382, 71-385, 71-387, 72-158, 72-231, 75-337, 75-349, 75-423, 75-427, 75-431, 75-446, 76-75, 76-89, 77-158, 77-264, 77-267, 77-348, 77-348A, 77-S359, 77-365, 77-398, 77-408, 78-07/A, 78-MISC30, 78-62, 78-65, 78-99, 78-114, 78-121, 78-278, 79-01, 79-46, 79-99, 79-252, 79-310, 79-354, 79-389, 79-422, 79-552, 79-573/A, 79-591, 79-592, 79-666, 79-735, 80-193, 80-319, 80-438/A, 80-598, 81-MISC156, 81-MISC235, 81-487, 82-S06, 82-A20DRA, 82-28A, 82-S31, 82-53, 82-S79, 82-S89, 82-S95, 82-295, 83-A88, 83-A236, 83-A261, 83-A263, 83-E367, 85-55, 85-329, 85-512, 85-513, 85-538, 85-580, 95-MISC12, 95-MISC14, 95-40, 95-55, 95-76/A	AUD+1	None	Yes	No	Finance Department City Controller

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Series Number/Title/Description	Forms	On-site Retention	Off-site Retention	Vital	Confid.	Office of Record
Public Information Series Series related to the furnishing of information to the public, through publication or response to specific inquiries.						
GS-PI-0001 Press Releases Copies of news articles and press releases issued by the agency to the media to inform the public about events, activities, and accomplishments.	None	CR+3	None	No	No	
GS-PI-0002 Annual Reports Annual reports prepared by agencies describing functions, activities, and events of the past year.	None	CR+/04*	PRM	No	No	Department of Records *Note: Send one copy to Archives upon publication.

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Series Number/Title/Description	Forms	On-site Retention	Off-site Retention	Vital	Confid.	Office of Record
Purchasing Series Series related to the expense of funds.						
GS-PU-0001 Contracts, Agreements, and Leases Formal arrangements between city agencies and vendors for the furnishing of goods and services, except for construction and professional services contracts. May include contracts, leases, copies of specifications, advertised bid proposals, and other correspondence.	20-D395, 20-397, 20-D398, 20-D497, 20-D618, 20-635, 28-23, 28-46, 28-205, 68-09A, 68-45, 68-50, 68-50A, 68-122/A, 68-177, 68-186, 71-62, 71-361, 77-61, 78-MISC53, 79-223, 79-252, 79-403, 80-80, 81-MISC151, 81-MISC184, 81-MISC196, 81-761, 81-790, 81-832, 81-926, 81-933, 84-MISC04	CLO+4	None	Yes	No	Law Department
GS-PU-0002 Contracts, Professional Services Contains copy of the contract, record of payments made to service provider, any evaluations required, and other records relevant to the contract.	20-D395, 20-397, 20-D398, 20-D497, 20-D618, 20-635, 28-23, 28-46, 28-205, 68-09A, 68-45, 68-50, 68-50A, 68-122/A, 68-177, 68-186, 71-MISC11A, 71-62, 71-361, 77-61, 78-MISC53, 79-223, 79-252, 79-403, 80-80, 81-MISC151, 81-MISC184, 81-MISC196, 81-761, 81-790, 81-832, 81-926, 81-933, 84-MISC04	CLO+4	None	Yes	No	Law Department

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Series Number/Title/Description	Forms	On-site Retention	Off-site Retention	Vital	Confid.	Office of Record
GS-PU-0003 Contracts, Construction <i>+ CONSTRUCTION AGREEMENTS</i> Records of bids and supporting documentation involving construction contracts for city public works (such as renovations, repairs, or improvements).	20-D395, 20-397, 20-D398, 20-D497, 20-D618, 20-635, 28-23, 28-46, 28-205, 68-02, 68-09A, 68-45, 68-50, 68-50A, 68-82, 68-122/A, 68-177, 68-186, 71-62, 71-361, 72-148, 77-61, 77-339, 77-495, 78-MISC53, 79-223, 79-252, 79-403, 80-80, 81-MISC151, 81-MISC184, 81-MISC196, 81-761, 81-790, 81-832, 81-926, 81-933, 84-MISC04	CLO+14	None	Yes	No	<i>PERMANENT</i> Law Department
GS-PU-0004 Petty Cash Fund System may include payment vouchers, checkbooks, statements, and receipts for petty cash fund.	55-PN378, 55-D2219, 71-39, 71-39A, 71-51, 71-S192, 71-S193, 72-282, 78-262/A, 80-527, 82-MISC55	AUD+6	None	Yes	No	City Controller
GS-PU-0005 Requests for Proposal (RFP) Records used to define and refine specifications for projects in preparation for the advertising of bids.	68-11, 68-117, 71-401	CY+5	None	No	No	

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Series Number/Title/Description	Forms	On-site Retention	Off-site Retention	Vital	Confid.	Office of Record
GS-PU-0006 Procurement Processing Copies of purchase orders, requisitions, material issue slips, and other records of transactions related to the acquisition of equipment, materials, or services. Files may include copies of specifications, bids, quotes, contracts, and related records.	14-25, 17-117, 17-182, 17-184, 20-602, 55-PN317, 68-S01, 68-S01A, 68-S01A-1, 68-S01B, 68-S01C, 68-S01D, 68-S01E, 68-08-2, 68-08A-2, 68-10-1, 68-10-2, 68-20, 68-22, 68-S85, 68-189, 71-152, 71-154, 71-S192, 72-82, 75-559, 77-300, 78-10, 78-174, 79-MISC60, 79-211, 79-303/A, 79-690, 79-745, 80-41, 80-83A, 80-146, 80-159, 80-186, 81-856, 82-293, 82-306, 83-A04, 83-A208, 85-16	AUD+6 <i>(with 72 CR AND +1)</i>	None	No	No	Procurement Department City Controller
GS-PU-0007 Signature Card Signature record of individual legally authorized to sign for specific transactions, financial or other.	71-09, 71-118, 71-221, 78-277, 85-207	ACT+6 Retain 6 years after authorization expires or is withdrawn	None	Yes	No	

Retention codes: **ACT** = Completion of an action, **AUD** = Audit date, **CLO** = Case closure, **CR** = Creation date, **CY** = Calendar year, **FY** = Fiscal year, **PRM** = Permanent, **SEP** = Employee separation, **SUP** = Superseded
Numbers indicate years, except when they follow a slash (/), when they mean months. Example: CR+/06 means "creation plus 6 months."

City of Philadelphia Department of Records
Citywide Records Schedule
May 1996

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Series Number/Title/Description	Forms	On-site Retention	Off-site Retention	Vital	Confid.	Office of Record
Training Series Series related to the development of the skills and knowledge of employees.	<i>IN EMPLOYEES' PERSONNEL FILES</i>					
GS-TR-0001 Subject files Memoranda, flyers, catalogues, and other records related to specific training courses (except those related to public safety, toxic substance handling, or EEO), including information on course content, program registration, instructor, credits, hours, and roster of registrants.	16-55, 70-315, 71-MISC36, 73-S122, 73-142/A, 75-578, 77-395, 77-415, 78-333, 81-602	ACT+3 Retain 3 years after training program is completed	None	No	No	

Retention codes: **ACT** = Completion of an action, **AUD** = Audit date, **CLO** = Case closure, **CR** = Creation date, **CY** = Calendar year, **FY** = Fiscal year, **PRM** = Permanent, **SEP** = Employee separation, **SUP** = Superseded

Numbers indicate years, except when they follow a slash (/), when they mean months. Example: CR+/06 means "creation plus 6 months."

Glossary of Terms

Active Record

A record that is regularly referenced or required for current, ongoing use.

Confidential Record

Record that, according to state or federal statute, requires special permission to view.

Form

Standard document created and revised by the Department of Records, Forms Management Unit, and given a City control number.

Inactive Record

A record still required by the City, though not for current operations.

Office of Record

The office, department, or administrative unit that is responsible for maintaining the official records for the total records retention period.

Record Series

A group of similar or related records, used or filed as a unit.

Records Management Liaison (RML)

Official appointed by the head of a City department, board, or commission, or the agency's RMO, who is responsible for supervising specific recordkeeping projects and activities within the agency, appointed by and working under the authority of the agency's Records Management Officer. There may be many Records Management Liaisons in an agency.

Records Management Officer (RMO)

Official appointed by the head of a City department, board, or commission, who is responsible for coordinating all of the recordkeeping activities of the agency. There is only one RMO per agency.

Records Retention Schedule

Comprehensive list of records series maintained by a City department, board, or commission, indicating the timetable during which they are maintained in primary office space, transferred to inactive records centers, and destroyed.

Retention

Length of time that a series of records must be kept by the City for legal, administrative, or historical reasons, including on-site and off-site maintenance, as outlined in a records retention schedule.

Vital Record

Record that is essential to the continuing operation of a City office, without which the office would not be able to perform its job.

Department of Records

Records Management Division



Procedure 1995.4

Disposal of City Records in an Originating Unit

Purpose: In an effort to minimize the costs of handling and storing records in originating units, it is the policy of the records management division to assist in the disposal of non-active records in the office. The following procedures will be followed for the disposal of City records stored in originating units:

1. When a group of records reaches the end of the records' retention period, the originating unit prepares Form 82-2, "Request for the Disposal of City Records," listing by record series number/title those records eligible for disposal, date of series, and number of cubic feet involved. Form 82-2 is four-part, with white, canary, pink, and goldenrod copies. The preparer in the unit retains the goldenrod copy and submits the other copies to the agency's Records Management Officer (RMO).
2. The RMO, upon receipt of the white, pink, and canary copies of the Form 82-2, reviews them to determine whether they are properly filled out as per the attached sample, signs them, retains the pink copy, and forwards the white and canary copies to the Records Management Unit for approval.
3. A Records Analyst in the Records Management Unit reviews the disposal request to ensure that it follows the official records schedule, signs it, and forwards the two copies to the City Archivist.
4. The City Archivist will appraise the records for permanent retention in the Archives.
5. If determined by the City Archivist to be of permanent value, it will be noted on the

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Revised: October 31, 1995	Revised:	Revised:

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Form 82-2, signed, and the Records Center Supervisor will arrange for the transfer of records to the Archives (see Records Management Division Procedure 1995.5).

6. If determined by the City Archivist not to be of long-term value, it will be noted on the Form 82-2, signed, and the Records Center Supervisor will arrange with the Sanitation Division of the Streets Department to remove the records for recycling (see Records Management Division Procedure 1995.7).
7. One copy of Form 82-2 will be kept on file at the Records Center until completion of the forms' retention period.

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Department of Records

Records Management Division

Procedure 1995.5



Transfer of City Records

Purpose: In an effort to minimize the costs of handling and storing non-current records in originating units, it is the policy of the Records Management Division to assist in the transfer of city records to lower-cost repositories specializing in records storage and retrieval. The following procedures will be followed for the transfer of city records:

1. Originating units will prepare Form 82-136, "Request to Store Records at the Records Storage Center" in triplicate. The preparer in the unit will retain one copy and submit the other two to the Records Management Officer or Records Management Liaison.
2. Originating units will prepare one copy of Form 82-15, "Records Shelf List". The preparer in the unit will retain this copy and attach a duplicate copy to the Form 82-136.
3. The Records Management Officer or Records Management Liaison will, upon receipt of the Form 82-136, examine it to determine whether it is filled out in accordance with the official records schedule, sign each one, retain a copy, and forward the remaining copy to the Records Management Unit.
4. A Records Management Analyst will review the transfer request to ensure that it follows the official records schedule, sign the Form 82-136, and forward it to the Records Center Supervisor. If the Form 82-136 requests transfer prior to the date specified in the records schedule, the analyst will contact the City Archivist for concurrence before approving the request for transfer.
5. The originating unit will pack and label cartons, designed to hold one cubic feet of

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records, in the same sequence as designated on Form 82-15.

6. The Records Center Supervisor will make arrangements for the transfer of records to the Records Storage Center or the City Archives, depending on the records retention schedule.
7. The Records Center staff will check the records prior to transfer for obvious signs of pest infestation and will refuse transfer of records showing evidence of same.
8. Upon receipt in the Records Center, the Records Center Supervisor will check the boxes against the Form 82-15 to ensure that records transferred to the Records Center are adequately described.
9. City Archives staff will check the boxes against the Form 82-15 to ensure that records transferred to the City Archives are adequately described.
10. The Records Center Supervisor will provide reference and retrieval service for all records transferred to the Records Center.
11. The City Archivist will provide reference and retrieval service for all records transferred to the City Archives.

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Department of Records

Records Management Division

Procedure 1995.6



Disposal of City Records in the Records Center

Purpose: Good records management policy dictates that those records not selected for permanent retention be disposed of when no longer of value to the government. The following procedures are to be followed for the disposal of records in storage at the Records Center:

1. When a group of records stored at the Records Center reaches the end of its retention period (as specified in an official records retention schedule), the Records Center Supervisor will prepare a Form 82-2, "Request for the Disposal of City Records," and send it to the City Archivist.
2. The City Archivist will review the form to determine the permanent value of the records listed, approve either their disposal or accession into the Archives, sign the form and return it to the Records Center Supervisor.
3. The Records Center Supervisor will send the signed Form 82-2 to the agency Records Management Officer (RMO) for approval, specifying a specific date by which it must be returned.
4. When the Records Center Supervisor receives two copies of the Form 82-2 authorizing disposal from both an agency RMO and the City Archivist, s/he will arrange for the physical disposition of the records (see Records Management Division Procedure 1995.7).
5. When the Records Center Supervisor receives two copies of the Form 82-2 authorizing accession of records into the City Archives from both the agency RMO and the City

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Archivist, s/he will arrange for the delivery of these records to the City Archives for accessioning as archival records.

6. If the white and canary copies of Form 82-2 are not returned to the Records Center Supervisor by the date specified, Form 82-323, "Notice of Failure to Comply with Disposal of Records Past Their Retention Period," bearing the signature of the Commissioner of Records will be forwarded to the agency head. Form 82-323 is a two-part form with a white and canary copy and has the following purposes:
 - a. to advise an agency head that the Department of Records has not received a reply to its request for authorization to dispose of agency records at the Records Center which are past the record's retention period.
 - b. to advise the agency head that the Department of Records will refuse to transfer to the Records Center any other records of the agency until the Form 82-2 in question is signed and returned to the Records Center Supervisor.
7. If there is an extraordinary reason to delay the disposal of the records listed on the Form 82-2 (e.g. a subpoena, investigation, or court case), notification should be made in writing to the Records Center Supervisor upon receipt of Form 82-2 and should include the signature of an agency representative. Form 82-323, listing reasons for delaying disposal, and the unsigned copies of the Form 82-2, will be returned to the Records Center Supervisor for resubmission when the records can be destroyed.
8. One copy of Form 82-2 is kept on file at the Records Center until completion of the forms' retention period.

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83-F03	31	85-564	25		
83-F26A	28	85-567	22		
83-T118/A	30	85-575	13		
83-T11A	30	85-576	25		
83-T127	13	85-578	20		
83-T193	28	85-580	38		
83-T25	30	85-584	20, 22		

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